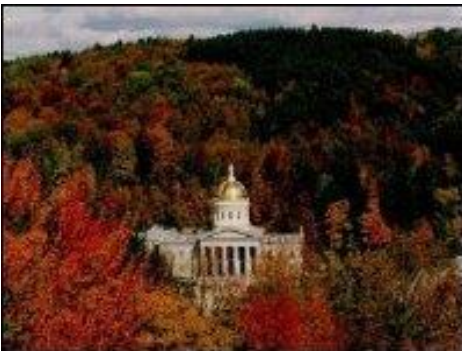


Vermont Functional Classification System

An Enterprise Approach to Managing Government Records and Information



Tanya Marshall

Vermont State Archives & Records Administration (VSARA)

tmarshall@sec.state.vt.us

Vermont Timeline *(Context is Everything)*

- Prior to 2003, the “archives” was limited to records required by law to be transmitted to the Secretary of State (legislative acts and committee minutes; governor’s correspondence; oaths and appointments; deeds). *1500 cf*
- 2003-2008: Authority to “identify” and “take custody” of archival records, but no authority to change or update record retention policies. *5500 cf*
- 2008: Records management responsibilities, including State Records Center, are transferred to Secretary of State’s Office and the Vermont State Archives and Records Administration is established by law. *105,000 cf + all*

Despite its small holdings, the Archives has had a long history of wedding the concept of continuing value with continuing issues.

What started it all...

Series PRA-216, which consists of driver licenses and motor vehicle samples between the years 1905-1908 and is attributed to the Secretary of State's Office.

But we have a Department of Motor Vehicles... was this a mistake? If no, how are we going to intellectually make the connection?

Why is there another series, PRA-088, with samples of motor vehicle registrations and driver's license from 1911-1918 also attributed to the Secretary of State?

Objectives (evolved over last 2-5 years)

- Study of “government” through an understanding of its parts
- See the big picture from different angles
- Objective documentation strategy of government functions, legislation and agencies *over time*
- **Capture and reuse research, particularly stable “information”**
- Balanced and consistent approach for appraisal
- Method for documenting recordkeeping decisions
- Create different reports and resources with consistency
- Export and use in other TBD areas (emphasis on standards)
 - *ISO 15489: Records Management and ISO 32081: Records Management Processes – Metadata for Records*

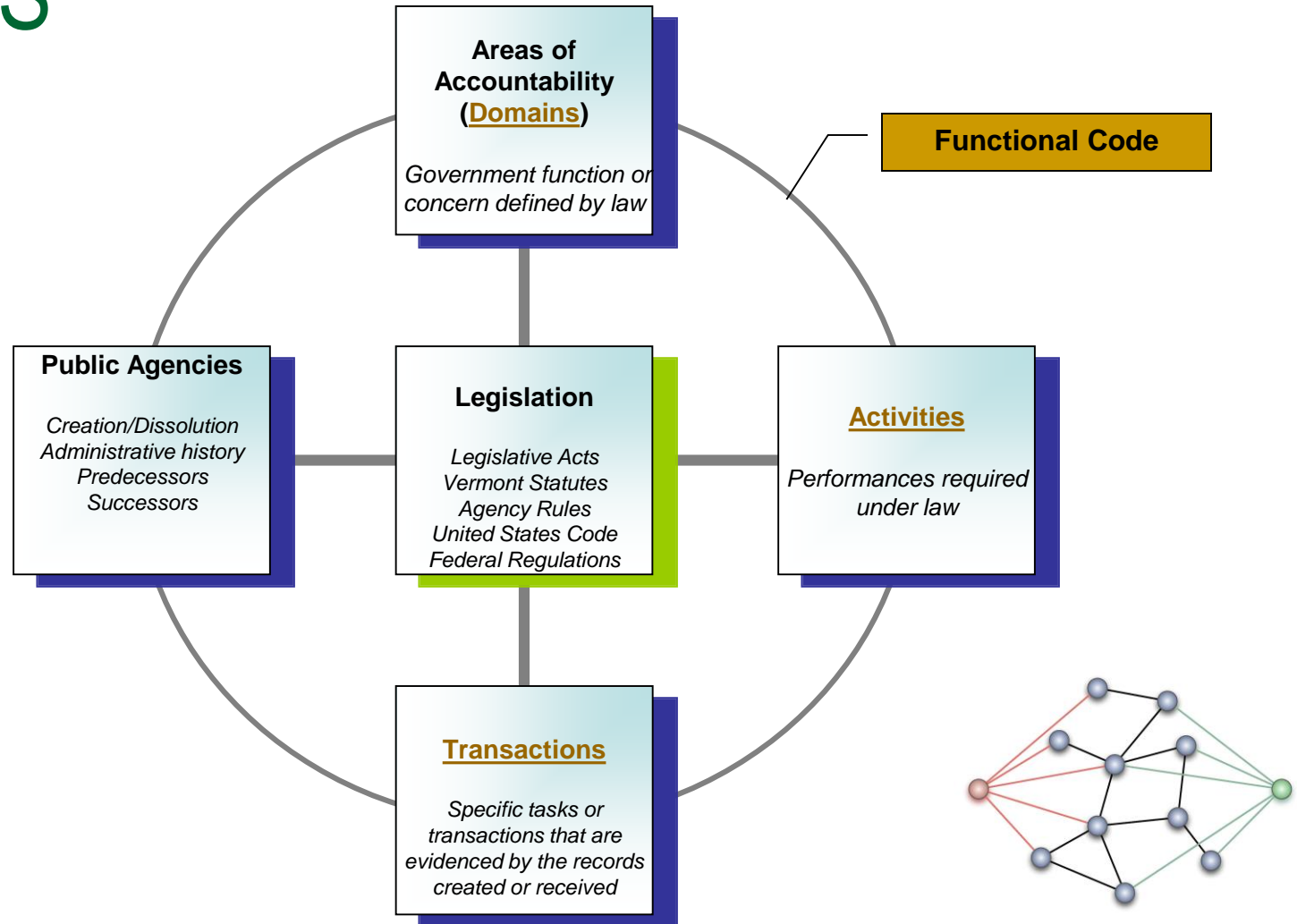
VCLAS Overview

VCLAS is used to break down the complexities of government into its basic parts:

- Legislation;
- Public agencies;
- Areas of accountability (Domains);
- Activities; and
- Transactions.

Within VCLAS, descriptive information about each part and its relationship and dependencies to other parts is collected, analyzed and reported using standardized terminology.

VCLAS



Faceted Classification for Functional Analysis

- Key, stable information is gathered and captured as “Facets”
- Two or more facets can be “connected” or “linked” to define an instance (categorized / contextualized)
- Search/retrieve/use/extract information in multiple ways
- Interoperability – flexible and extensible
- Provides standards / normalization
- Complements but does not replace other descriptive information (metadata)
- Iterative process / “Grounded theory” approach: code, concept, category, theory

Analyzing and Appraising

- Functional analysis: Series of related activities, not necessarily done by the same agency, performed to directly or indirectly fulfill a mandate. Supported by transactions (record)
- Pattern analysis (“a case is a case is a case”)

Activities tend to generate the same types of records regardless of the agency or the domain (area of accountability) or the time period. We can establish policy at a macro-level in some areas.

Archival Records

- Intellectually link seemingly disparate series (minimal processing). These facets were our first: agency, people, “series”, container, folder, item
- Add additional facets as needed:
 - Jurisdictions facet
 - Elected and appointed “titles” facet
 - Election data facet

Enterprise Systems

2010 Information Technology Strategic Plan highlighted the several statewide “enterprise solutions” that are now in place or being implemented:

- E-mail (MS Exchange and Symantec’s Enterprise Vault)
- Grants Management (Pie Matrix)
- Document Management (MS SharePoint Server - MOSS)
- Web Portal (Drupal)
- Time and Management (PeopleSoft)
- Case Management (CyberLaw, LegalFiles, CAVU)

VCLAS? Enterprise Systems?

What do they have to do with electronic records and digital preservation?

- Can we use functional analysis to prioritize our efforts and focus only in areas that involve at risk records?

Information Management

- Agencies need strategies for managing information in these new systems
- People are starting to ask vendors about how their systems can or cannot meet recordkeeping requirements (☺)
- IT is starting to focus more on these requirements in addition to other business requirements because it helps them define scope

The paradigm is shifting from fitting an agency's business into a black box to creating a black box that meets the agency business or, in the case of enterprise systems, government business (which includes VSARA)

VCLAS? Enterprise Systems?

What do they have to do with electronic records and digital preservation?

- Can we provide records creators with some minimal metadata that will help them and us?
Is this mutually beneficial?

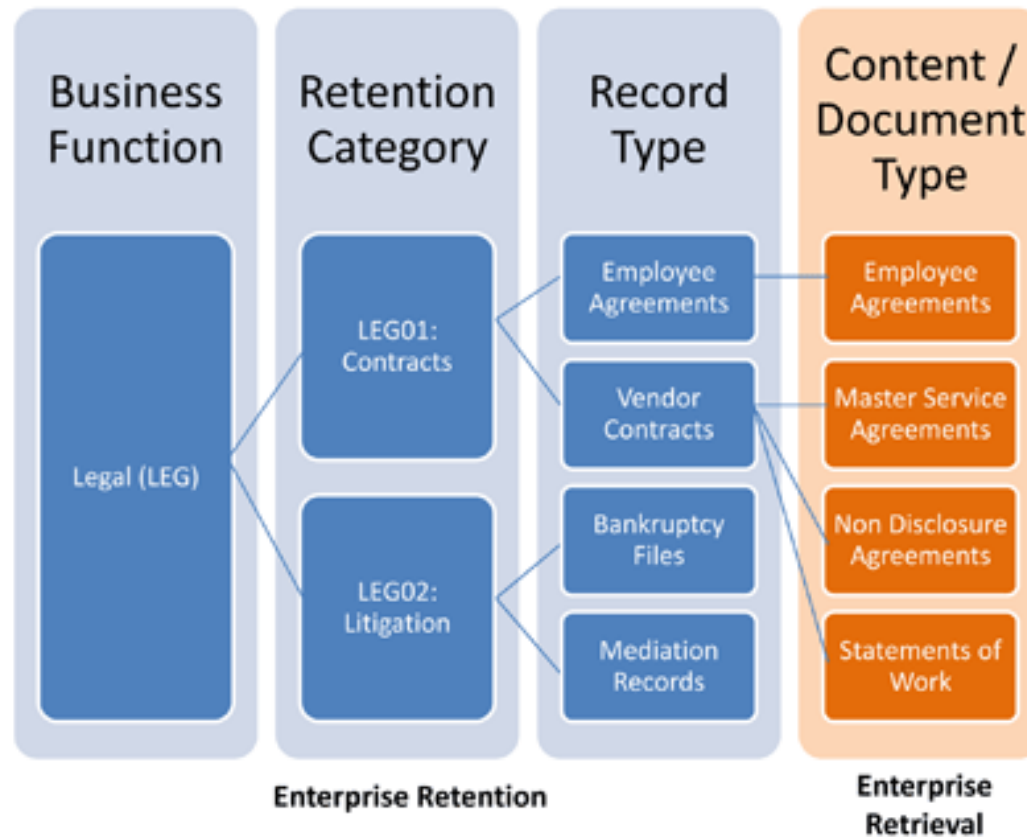
SharePoint

- Was advertised for document management – but it's really a collaboration tool – nonetheless it is being used to:
 - ❑ Make information widely available to more people
 - ❑ Centralize content in one place but have multiple views
 - ❑ Cross agency boundaries (multi-agency)
 - ❑ Streamline and manage workflows
 - ❑ Create new records in a controlled environment

Sharepoint puts the end user in the driver's seat....

**** VSARA sits on the SharePoint Governance Board

SharePoint



On The Record With SharePoint: Bridging the Gap Between Retention and Retrieval by Susan Cisco, Jonathan Brandenburg and Mike Alsup of Gimmel Group.

<http://www.aiim.org/infonomics/on-record-with-sharepoint-bridging-gap.aspx>

SCOPE:

INVENTORY NO. 1445.1156

Reserved for activities and transactions that relate to or affect, in a specific manner, the representation of a needy person who is charged with having committed or is being detained under a conviction of a serious crime.

Vermont Functional Classification System (VCLAS) Terms for Enterprise Systems

VCLAS Domain Class: *Needy persons*

VCLAS Activity Class: *Representing*

VCLAS Record Class	Use/Applicability
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Authorizations 1445.1156.141	Use for Powers of Attorney.
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Correspondence (Routine) 1445.1156.28	Use for routine or general recorded information that is transient in nature and has no bearing on representation or the final outcome of a case.
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Correspondence (Substantive) 1445.1156.53	Use for written correspondence between the defendant's attorney and the defendant, State's Attorney or experts.
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Decisions 1445.1156.133	Use for final decisions of the court issued as a final order, agreement or stipulation. Includes binding plea agreements and findings made by a jury.
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Notes	Use for notes taken by the defendant's attorney and similar attorney work
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VCLAS? Enterprise Systems?

What do they have to do with electronic records and digital preservation?

- Can recordkeeping requirements be met when we aren't involved in the system requirements gathering, design, governance, etc.?
 - Joint standards for records management, electronic messages, information security classification, recordkeeping metadata, imaging, and file formats have been issued

Information Exchange

- VCLAS fits nicely into information exchange models such as the National Information Exchange Model (NIEM) and the Justice Exchange Information Model (JIEM)

*“The conceptual framework for understanding justice system information exchange, simply stated, it is that all information exchange in the justice system can be described in five dimensions: **process**, **event**, **agency**, **condition**, and **information**. The information dimension includes documents and data elements. (Justice Information Exchange Model)”*

VCLAS? Enterprise Systems?

What do they have to do with electronic records and digital preservation?

VCLAS? Enterprise Systems?

What do they have to do with electronic records and digital preservation?

Is it better to be on the bus or run over by it?

